

Chapter 3

The Planning Year: Initiating a Planning Process and Organizing a Partners Meeting

Creating an AP4 center takes much more than simply writing a successful grant application. Although a successful grant application is an important step in the process, an AP4 center grant application will only be successful if it is the result of an extensive planning process. This process begins as soon as the proposed center director decides to apply for a planning grant. Once an AP4 planning grant has been awarded, the planning continues with:

1. Identification of partners.
2. Partners meeting.
3. Strategic planning process.
4. Preparation of the AP4 center application.

Figure 3-1: Planning year timeline

	Months:											
Activity:	1	2	3	4	5	6	7	8	9	10	11	12
Identify partners												
Plan partners meeting												
Partners meeting												
Strategic planning												
Write application												

This chapter addresses the first activities that should be undertaken during the 1-year planning period, after the award of an AP4 center planning grant. Specifically, you will find information here on selecting and recruiting potential partners and organizing a partners meeting. Details of the strategic planning process you should undertake during the planning year are provided in Chapter 4, and the AP4 grant application is addressed in Chapter 5.

Planning a New AP4 Center

Planning Stages

Planning efforts for a new AP4 center should involve the following stages:

1. Exploratory stage:
Before applying for an AP4 center planning application, you should begin to gather preliminary information on whether it is feasible to establish a new AP4 center at your institution. During this period, a significant amount of self-assessment and reality testing is recommended. If the results of this self-assessment and reality testing are positive, you should submit a planning grant application to the NCI. This stage is discussed in more detail in Chapter 2.
2. Planning stage:
Once the NCI has informed you that you have received a planning grant, you should begin a more thorough assessment of the feasibility of establishing an AP4 center. Specifically, you

should identify multidisciplinary investigators at your institution and elsewhere who are interested in contributing to the proposed AP4 center. You should also identify potential partners and begin exploring what each can contribute and how each will benefit. Because the planning grant is a cooperative agreement, consultations with the AP4 NCI coordinator could be frequent during the planning period. This stage culminates in the submission of an AP4 center application to the NCI and is discussed in this chapter and in Chapters 4 and 5.

3. Implementation stage:

After you receive an AP4 center award, your planning efforts should shift to the specifics involved in establishing your AP4 center, including finalization of agreements with center partners, refinement and implementation of the plans developed in the planning year, and initiation of research projects. This stage is discussed in more detail in Chapters 6–9.

Figure 3-2: Planning year activities*

1. Upon receiving notification of a planning grant award, contact individuals who have worked with the center director or other key investigators to determine their level of interest in becoming center members.
2. Ask organizations and companies that express an interest in joining the center to identify and possibly contact other potential partners.
3. Select a date for the partners meeting and plan the meeting.
4. Hold the partners meeting.
5. Review the meeting summary or transcript and feedback forms completed at the meeting to select initial research projects for the potential AP4 center, identify needed strategic planning activities, and plan the AP4 center application.
6. Conduct strategic planning activities (see Chapter 4 for more information).
7. Write and submit the AP4 center application (see Chapter 5 for more information).

*Adapted from Gray and Walters, pp. 41–42.

Goals and Objectives of Planning

As discussed in Chapter 1, AP4 centers are designed to meet the following objectives:

- Form partnerships among multidisciplinary teams of researchers as well as industry, academic institutions, nonprofit organizations, and government entities.
- Conduct research to identify novel targeted cancer therapeutic, prevention, diagnostic, and imaging interventions. This research should take advantage of the latest discovery and development technologies and use a multidisciplinary approach to focus on orphan cancers (those that affect fewer than 200,000

people per year in the United States) or biologically defined subsets of more common tumor types (which thus meet the requirement of affecting fewer than 200,000 people in the United States per year).

The NCI provides initial funding for AP4 centers for 5 years, although the level of funding decreases after the third year (see Chapter 1 for details on NCI funding for AP4 centers). Support may be extended for another 5 years, but this occurs on a significantly reduced basis. As a result, as soon as potential AP4 center partners begin to plan their center, they must begin working toward being able to maintain their centers over the long term without NCI support. This may require the continual development of innovative research themes.

To achieve all these goals, the following objectives should be considered in your planning:

- Assign responsibility for all center activities to a center director who is based at a university or nonprofit organization.
- Develop a new partnership among, or build on existing relationships with, academia, pharmaceutical and biotechnology companies, nonprofit organizations, and government agencies.
- Consult with center members to develop a research agenda that addresses shared research interests and opportunities.
- Share the intellectual property developed by the AP4 center, as outlined in the membership agreement.
- Establish a mechanism by which center partners monitor and provide feedback on the progress of center research, which speeds up the transfer of knowledge between the center and other partners.
- Obtain financial support from biotechnology, pharmaceutical, academic, nonprofit, and non-NCI government partners.
- Develop a formal structure and policies for all center partners, and include these in an AP4 membership agreement.
- Conduct research that is results driven, rather than hypothesis driven, to ultimately yield novel cancer interventions.
- Involve graduate students in research projects to develop new investigators with experience and expertise in development-oriented research.
- Hire an independent evaluator to evaluate all center activities.

Figure 3-3: Requirements for a successful AP4 center

Personnel:

- Strong, experienced center leader.
- Multidisciplinary junior and senior investigators.
- Established network of potential partners.

Environment:

- Documented research need.
- Institutional support.

Approach:

- Center marketing plan.
- Research agenda.

Requirements for a Successful AP4 Center

Achieving these objectives requires the right people:

- A *center leader* with an entrepreneurial spirit, technical vision, commitment to multidisciplinary collaboration, and administrative skill.
- Junior and senior *investigators* who understand the AP4 model and have the expertise and experience to help

the center develop targeted interventions for specific cancers. Because multiple disciplines are required to develop such interventions, the investigators should represent a broad range of relevant disciplines.

- An *established network* from which potential center partners can be recruited and on whose research interests the center's work can focus.

Another important ingredient is a favorable environment:

- Every AP4 center must address a *research need* that leads to the development of new cancer interventions and is relevant to the interests of pharmaceutical and biotechnology companies, as well as nonprofit organizations, because their financial support is necessary.

Although the pharmaceutical and biotechnology companies most likely to become AP4 center partners are those that conduct and support a great deal of research and development (R&D), companies without R&D programs can also be center partners. What matters is that the partners recognize the value of the center's proposed research and the center's research results.

- Strong *institutional support* from the president and department heads of the center director's institution is needed to attract high-quality, multidisciplinary researchers and students. Without the support of administrators, barriers to the participation of key investigators may arise in such areas as conflicting research or teaching requirements, insufficient or inappropriate space allocation, lack of access to needed technology, insufficient funding, and conflicts with tenure requirements.

A final ingredient in a successful AP4 center is an effective approach:

- Although a network of relationships with potential partners is essential to starting a center, AP4 centers need to continually enhance their relationships with existing partners and form relationships with new partners. This requires a center *marketing plan* because marketing is necessary throughout the life of a center. Although the center director has primary responsibility for relationships with partners, other investigators and partners should also be involved in recruiting new partners.
- The AP4 center's *research agenda* must match the strengths of the institution and be relevant to the research and funding interests of all partners. Sharpening this focus begins as soon as planning for the center starts, and continues throughout the life of the center.

Recruiting Center Partners

Identifying Potential Partners

The first activity in the planning year is the identification of potential center partners. Center partners are biotechnology and pharmaceutical companies, academic institutions, nonprofit organizations, and non-NIH government agencies that contribute intellectually and financially (including the payment of a partnership fee) to the AP4 center.

Begin with the center director's existing relationships with companies, institutions, organizations, and agencies that have an interest in the center's target research area and sufficient resources to contribute. For example, the director may have met potential partners when working with a national organization or serving on a panel. If the director meets a potential partner at a conference and exchanges business cards, he or she should contact that individual by phone or e-mail within a week of the meeting. The institution's research department may also be able to help identify potential partners that have relationships with the institution.

Center investigators represent several different departments and should have many personal contacts. These investigators should talk to their professional, corporate, academic, and nonprofit contacts to determine whether they might be interested in becoming partners of the potential AP4 center. Whenever a potential contact is identified, the center director should be informed and should follow up promptly.

Graduate students can also serve as sources of potential partners because they may have interned for a company or nonprofit that might be interested in joining the AP4 center. Center directors should therefore ask graduate students and graduates to help identify potential partners.

Be sure to track all contacts made with potential partners on behalf of the potential AP4 center. Make a note of the name and organization of the contact, the potential interest in the AP4 center, the role in the organization, and the date and nature of the contact. Follow up on initial contacts within 1 week and, if necessary, ask the contact whether someone else in the organization needs to be brought into the discussions. Keep following up with the contact, if necessary, until they decide whether or not to participate in the partners meeting.

Recruiting Potential Partners

When recruiting potential partners, keep in mind that these organizations have needs that can be met by becoming AP4 center partners. They are likely to be particularly responsive to contacts with others who are interested in forming long-term relationships.

The following steps are suggested to successfully recruit potential partners to your prospective AP4 center:

1. *Develop a list of contacts.* Before contacting anyone on the list, make sure they are likely prospects in that their research interests match those of the proposed AP4 center.
2. *Learn about the potential partner before approaching them.* Find out as much as possible about their research areas of interest so you can gear your approach to their needs. Also, make sure that the person you approach has the authority to make decisions about becoming a partner of your potential AP4 center.
3. *Approach the potential partner.* You may not have a second opportunity to meet with this potential partner, so be sure to make a good impression on the first approach. Be businesslike and explain how the AP4 center will meet the potential partner's interests.
4. *Give a presentation.* This presentation should get potential partners' attention, hold their interest, make them want to join the center, and lead to action. Center directors should develop solid, professional presentations that do not sound "canned" and that show the benefits to the potential partner of joining the center. Practice the presentation and obtain critiques from fellow investigators and the AP4 NCI coordinator. This presentation should include an overview of the proposed center, a request for input on the current center plans, an invitation to attend the partners meeting, and a request that the prospect consider joining the center. During the presentation, the director should listen to what the potential partner has to say and make appropriate responses.
5. *Respond to objections.* The director should discuss with potential partners how the AP4 center could meet their needs for high-quality research for relatively little cost. All objections must be clarified and responded to.
6. *Seal the deal.* Compromise may be necessary to convince potential partners to join the center, but both the center and a potential partner will gain if the negotiations are conducted appropriately.
7. *Follow up.* Once you have established a relationship, be sure to maintain it. Keep all partners informed of and involved in AP4 center activities and decisions. And never think of any of your partners as disposable, because all play a critical role in center activities.

The Partners Meeting

Planning the Partners Meeting

While you are identifying potential AP4 center partners, you should be planning the partners meeting. In fact, planning for this meeting should begin as soon as you receive notification of a planning award. The partners meeting should last from 1 to 2 days, and should include interested investigators and students, representatives from each potential partner institution or company, and relevant officials such as department heads and representatives from the institution's research and financial offices.

The purpose of the meeting is to provide an overview of the planned AP4 center, identify potential research projects, begin strategic planning for the center, and discuss the preparation of the AP4 center proposal. *Although research in the potential AP4 center's target area should be addressed during the meeting, the focus of the meeting is on the business of planning an AP4 center, not on research.*

The center director or someone else at the institution should be designated the responsible party for organizing the partners meeting. A form that can be used to help plan your partners meeting is provided in Appendix 3-1. Although the agenda does not need to be finalized until shortly before the meeting, the meeting organizer should discuss potential agenda items with the center director and other participants to determine the length of the meeting. These discussions should also serve to develop a list of meeting participants and identify potential speakers. Contact those potential speakers to determine their willingness to present at the meeting.

Identify three possible dates for the meeting that will fall approximately 3 or 4 months into the planning year. Make sure these dates do not conflict with any major institutional or department event, and then ask key meeting participants for their availability on these dates. Select the date on which most potential participants are available, and immediately ask all potential participants to save that date.

At this point, you need to identify possible locations for the meeting. If your institution has a meeting planning or conference services department, they may be able to help you identify suitable meeting space and provide meeting planning assistance. You can also inquire about meeting rooms at area hotels. You should reserve a block of hotel rooms for out-of-town participants either near your institution, if the meeting is to be held there, or at the hotel where the meeting will be held. You should also find out about your institution's policies on

Figure 3-4: Meeting planning steps

1. Select a meeting organizer.
2. Prepare a draft meeting agenda.
3. Prepare an invitation list.
4. Identify and contact potential speakers.
5. Choose a meeting date.
6. Reserve a meeting space.
7. Reserve hotel rooms for out-of-town participants.
8. Send out invitations and registration forms.
9. Reserve audiovisual equipment.
10. Reserve snacks and meals.
11. Arrange for someone to tape and transcribe the discussions, or to take notes and write a meeting summary.
12. Finalize arrangements with speakers.
13. Finalize and copy agenda and other handouts (e.g., feedback forms).
14. Order name tags.

reimbursing for travel for out-of-town participants because you can cover these costs with your planning grant.

Because the partners meeting will need to include a discussion of the proposed AP4 center's initial research projects, identify several projects to present to potential partners. Ideally, you should discuss more than three such projects at the meeting, in case some receive negative feedback. Also, in addition to providing 2- or 3-page summaries of three research projects in the center application, you must provide brief (1-page) descriptions of at least two backup projects, as additional projects may be needed if one or more of the initial projects are terminated by the steering committee early in the life cycle of the center. Select appropriate members of the institution to prepare presentations on these research projects.

Now you should have all the information needed to prepare an invitation letter for institutional members, students, institutional officials, and potential partners. The letter should explain the purpose of the meeting; specify meeting date(s), location, and time; describe procedures for booking travel and obtaining reimbursement; and include a draft agenda and a registration form.

About a month before the meeting, arrange for meals and snacks, finalize and copy the agenda, confirm details with speakers (and copy any handouts they plan to distribute), order name tags, and reserve any needed audiovisual equipment. You should also make arrangements to record the meeting proceedings, either by audiotaping the discussions and having the tapes transcribed, or by assigning someone who will not be participating in the meeting discussions—ideally, a professional meeting-summary writer—to take notes on the discussion and prepare a meeting summary.

The Partners Meeting

The purpose of the partners meeting is to provide a chance for members of the institution, students, institutional officials, and potential partners to meet face to face. Because these individuals will be working together if the potential AP4 center grant is awarded, an opportunity to get to know one another is valuable. The meeting also enables potential center participants to come to an understanding about how the center will be organized and what kinds of research it will conduct. Perhaps most importantly, the meeting serves as the starting point for the strategic planning that will continue until after the center is formed, and will be critical to the development of a successful AP4 center application.

The meeting should address:

- The research plan:
 - Documented need for the proposed research focus.
 - Types of research to be conducted by the center.
- At least three initial research projects.
- The role of each member of the institution and potential partner in:
 - Center oversight.
 - Research.
 - Providing resources.
 - Evaluation of center projects and the center as a whole.
- Letters of commitment from potential partners.

- How property rights issues will be handled.
- The AP4 center application:
 - Application content.
 - How the application will be developed.

The center director should chair the meeting, but other members of the institution can chair some meeting sessions. The meeting should include ample opportunities for input from potential partners, as well as informal opportunities for all participants to interact.

During the meeting, at least three initial research projects should be discussed, because the AP4 center application must include brief proposals for three projects, as well as brief summaries of two backup projects. The initial projects may include those discussed in the planning application, or ideas developed after submission of the planning application. When discussing each potential initial research project, participants should identify related work conducted elsewhere and determine how the proposed project is different and how it relates to the center's research plan. The cost of the project and how it might be funded must be discussed, and potential partners should identify the benefits to their companies or organizations from each project.

To guide the discussion of each research project, the center director or session chair should ask such questions as:

1. What are your initial reactions to Research Project A?
2. Do you have any suggestions for improving Research Project A or making it more relevant to the discovery and development of new cancer therapies?
3. Can you identify any major barriers to completing Research Project A?
4. What people, information, or technologies could be brought in to enhance Research Project A?

Following the discussion of each research project, participants should be asked to complete a project value statement (see Appendix 3-3 for a sample form) to indicate their level of interest in the potential project. Following the meeting, the center director and key members of the institution should decide which research projects to include in their center application based on feedback from these forms.

Although participants are likely to show the most interest in the research plan and the individual proposed research projects, the partners meeting must also address the business of forming an AP4 center. For example, potential partners and representatives of the institution must discuss intellectual property rights issues such as patents, royalties, and research publications. Funding for the center is another key issue for discussion because the NCI provides only partial support for AP4 centers and that support diminishes over time to encourage centers to become self-sustaining.

Potential center partners should be asked to document their level of interest in joining the center prior to departing from the meeting. They can provide this information on a feedback form that solicits comments on:

- The center's organization.
- Intellectual property policies.

- Financial commitment requirements.
- Research program.
- Other information needed by the company or organization to make a decision about joining the center.
- Anticipated recommendation to the representative's company or organization about becoming a center partner.

After the meeting, the center director should meet with key investigators to:

- Follow up with all potential partners regarding their submission of a signed letter of commitment (see Appendix 3-3 for a sample membership letter). These letters should be signed by an individual in the company or organization with the authority to authorize funding for the center.
- Review the research project assessment forms and decide which initial research projects to include in the AP4 center application.
- Determine any changes needed in the potential AP4 center's research plan.
- Identify steps required to develop a strategic plan for the AP4 center (see Chapter 4 for information on the strategic planning process).
- Plan the preparation of the AP4 center application.

A list of questions to consider during this meeting is available in Appendix 3-4.

The Planning Process

By about the fourth month after receiving your planning grant, you should have identified several potential partners, held a meeting with them and other interested investigators and students, and obtained several signed partnership letters. You should now begin a formal strategic planning process (see Chapter 4 for information on strategic planning). The initial results of your strategic planning activities should inform the development of your AP4 center application, which you should also begin developing at this point (see Chapter 5 for a discussion of the center application).

Figure 3-5: Suggested agenda for the partners meeting

Day 1		Session leader:
8:00–9:00 a.m.	Breakfast	
9:00–10:00 a.m.	Overview of the AP4 program	Center director
10:00–10:45 a.m.	Center research focus and administrative structure	Center director
10:45–11:00 a.m.	Break	
11:00 a.m.–12:00 p.m.	Proposed research plan	Center director and/or other investigators
12:00–1:00 p.m.	Lunch	
1:00–2:30 p.m.	Presentation of research projects	Investigators
2:30–4:30 p.m.	Breakout sessions to discuss research projects	
4:30–5:00 p.m.	Closing remarks for day 1	Center director
Day 2		
8:00–9:00 a.m.	Breakfast	
9:00–10:00 a.m.	Group discussion of the research projects	Center director
10:00–10:45 a.m.	Role of center partners and commitment letters	Center director
10:45–11:00 a.m.	Break	
11:00 a.m.–12:00 p.m.	Intellectual property rights	Center director and partners
12:00–1:00 p.m.	Lunch	
1:00–2:00 p.m.	Funding for the center	Center director
2:00–3:00 p.m.	Preparation of the center application	Center director

References

Gray D.O., Walters S.G. *Managing the Industry/University Cooperative Research Center: A Guide for Directors and Other Stakeholders*. Columbus, OH: Battelle Press, 1998.

Helpful Websites

Resources for meeting planning:

Robert Wood Johnson Foundation, "Planning a Great Meeting":

<<http://www.rwjf.org/grantee/howtoPlanMeeting.jhtml>>. Accessed July 7, 2003.

Effectivemeetings.com: <<http://www.effectivemeetings.com>>. Accessed July 7, 2003.

Appendix 3-1: Meeting Planning Form

Contact at institution's conference planning department or hotel:	Name	
	Phone	
	Fax	
	e-mail	

Information about the meeting:

Meeting name	
Meeting date(s)	
What time does the meeting start and end each day?	
How many people will be attending the meeting?	
How many people will be coming to the meeting from out of town?	

Information about the structure of the meeting:

Possible meeting locations.	Indicate your preference order: _____ Onsite _____ At a nearby hotel _____ Other: specify: _____
How would you like the plenary session set?	Conference table: _____ (one table) Hollow square: _____ (table with hole in center) Theater style: _____ (chairs in rows, no tables) Classroom style: _____ (chairs at thin tables)
Does the meeting require breakout rooms?	No: _____ Yes: _____
<ul style="list-style-type: none"> ▪ If yes, how many breakout rooms? 	
<ul style="list-style-type: none"> ▪ If yes, on which days are breakout rooms needed? 	

Items to order:

Continental Breakfast each AM	Yes: _____ No: _____	Slide projector package	Yes: _____ No: _____
Mid-morning coffee	Yes: _____ No: _____	Overhead projector package	Yes: _____ No: _____
Lunch	Yes: _____ No: _____	LCD projector package	Yes: _____ No: _____

Afternoon break	Yes: _____ No: _____	Flipcharts (specify number)	Yes: _____ No: _____
Other food functions (specify)		Microphones (specify number)	Yes: _____ No: _____
Transcription	Yes: _____ No: _____	Audio taping	Yes: _____ No: _____

Information about the attendees and the invitation process:

How many people will be invited? (Develop a list with contact information.)	
Have invitations been sent?	
▪ How are people responding?	
How will travel be reimbursed?	
How many people will need hotel rooms?	
How many people will be reimbursed for travel expenses? (Develop a list.)	
• Have those eligible for reimbursement been informed about reimbursement procedures?	
▪ Will attendees pay their own hotel bills on check out?	

Printed meeting materials to order/copy:

Name badges	Yes: _____ No: _____	Meeting binders	Yes: _____ No: _____
Tent cards	Yes: _____ No: _____	Printed tabs If so, how many tabs? _____	Yes: _____ No: _____
Participant list	Yes: _____ No: _____	Will binders be mailed out? If so, what is the mail-out date? _____	Yes: _____ No: _____
Folders	Yes: _____ No: _____	Will color copies be required?	Yes: _____ No: _____
Slides/Visuals	Yes: _____ No: _____		
Others	Yes: _____ No: _____	Comments	

Appendix 3-2: Sample Membership Agreement

This agreement is made this _____ day of 20____ by and between _____ (hereinafter called "INSTITUTION") and _____ (hereinafter called "PARTNER").

WHEREAS, the parties to this Agreement intend to join together in a cooperative effort to support an Academic Public-Private Partnership for _____ (hereinafter called "PARTNERSHIP") at the INSTITUTION to maintain a mechanism whereby the INSTITUTION environment can be used to perform research to _____

The parties hereby agree to the following terms and conditions:

A. PARTNERSHIP will be operated by certain faculty, staff, and students at the INSTITUTION. For the first 5 years, the PARTNERSHIP will be supported jointly by industrial firms, nonprofit organizations, federal laboratories, the National Cancer Institute (NCI), the state, and the INSTITUTION. It is possible that the UNIVERSITY may receive support from NCI for an additional 5 years.

B. Any PARTNER, federal research and development organization, or any government-owned contractor-operated laboratory may become a sponsor of the PARTNERSHIP, consistent with applicable state and federal laws and statutes. Federal research and development organizations and government-owned contractor-operated laboratories may become sponsors of the PARTNERSHIP on terms and conditions other than those in this Agreement upon approval by INSTITUTION and two-thirds of the Steering Committee.

C. PARTNER agrees to contribute \$_____ annually in support of the PARTNERSHIP and thereby becomes a member. Payment of these membership fees shall be made to the _____ as a lump sum effective _____; or in four equal quarterly installments on _____, _____, _____ and _____ of each year of sponsorship. Checks from the PARTNER should be mailed to _____ and made payable to _____. Because research of the type to be done by the PARTNERSHIP takes time and research results may not be immediately obvious, the PARTNER should join the PARTNERSHIP with the intention of remaining a fee-paying member for at least 2 years. However, the PARTNER may terminate this Agreement by giving the INSTITUTION 90 days written notice prior to the termination date.

D. The organization and operation of the PARTNERSHIP will be specified by PARTNERSHIP bylaws that will be adopted at the first Steering Committee meeting. The bylaws, when adopted, will become part of this Agreement.

E. There will be a Steering Committee composed of one representative from each member. This Committee makes recommendations on (a) the research projects to be

carried out by PARTNERSHIP (b) the apportionment of resources to these research projects, and (c) changes in the bylaws. The operation of this board is specified in the bylaws.

F. The INSTITUTION reserves the right to publish in scientific journals the results of any research performed by the PARTNERSHIP. The PARTNER, however, shall have the opportunity to review any paper or presentation containing results of the research program of the PARTNERSHIP prior to publication of the paper, and shall have the right to request a delay in publication for a period not to exceed 60 days from the date of submission to the PARTNER, for proprietary reasons, provided that the PARTNER makes a written request and justification for such delay within 30 days from the date the proposed publication is submitted by certified mail to the PARTNER.

G. Because the discovery of new and improved anticancer interventions is the objective of this effort and active involvement by industrial laboratories is facilitated by the existence of adequate patent coverage, it is essential that applicants provide plans to assure such coverage. Each applicant PARTNERSHIP must therefore provide a detailed description of the approach to be used for obtaining patent coverage and for licensing where appropriate, in particular where the invention may involve investigators from more than one PARTNER. Procedures must be described for resolution of legal problems should they arise. Your attention is drawn to P.L. 96-517 as amended by P.L. 98-620 and 37 CFR Part 401. Instructions were also published in the NIH GUIDE FOR GRANTS AND CONTRACTS, Vol. 19, No. 23, June 22, 1990.

(Note to AP4 applicant: A formal statement of Patent Agreement among all PARTNERSHIP members and their organizations as well as a detailed description of procedures to be followed for resolution of legal problems that may develop, signed and dated by the organizational official authorized to enter into patent arrangements for each PARTNERSHIP member and member organization, must be developed. The signed agreement must be made part of the membership agreement and be submitted prior to award to the NCI at the address provided under INQUIRIES.)

H. Copyright registration shall be obtained for software developed by the PARTNERSHIP. The PARTNER shall be entitled to a nonexclusive, royalty-free license to all software developed by the PARTNERSHIP. The PARTNER will have the right to enhance and to remarket enhanced or unenhanced software with royalties due to the PARTNERSHIP to be negotiated, based on the worth of the initial software, but not to exceed ___% of a fair sale price of the enhanced software product sold or licensed by the PARTNER.

I. Any royalties and fees received by the INSTITUTION under this Agreement, over and above expenses incurred, will be distributed as follows:

- (1) ___% to inventor, or in accordance with INSTITUTION royalty-sharing schedule,
- (2) ___% to the (Institution)_____, and

(3) ____% to the PARTNERSHIP operating account, or to the College of _____ in the event that the PARTNERSHIP is no longer in operation.

J. Neither party shall assume any liability for the actions or omissions of the other party. Each party will indemnify and hold the other party harmless against all claims, liability, injury, damage, or cost based upon injury or death to persons, or loss of, damage to, or loss of use of property that arises out of the performance of this Agreement to the extent that such claims, liability, damage, cost, or expense results from the negligence of a party's agents or employees.

Appendix 3-3: Research Project Assessment Form

Project title: _____

Project leader: _____

Rank the level of interest of your company or organization in this research project.

Level of interest:

- ☐ Very interested
- ☐ Interested
- ☐ Interested with a change (specify the change in the comments section below)
- ☐ Not interested
- ☐ Abstain

Rank the relevance to your company of this research project.

Relevance to company/organization:

- ☐ High
- ☐ Moderate
- ☐ Some
- ☐ None

Comments:

Identify applications/clinical benefits, suggested changes, scientific merit, innovative aspects of the research, or types of assistance your organization or company can provide:

Name: _____

Company/organization: _____

Date: _____

Appendix 3-4: Reviewing Results of the Partners Meeting*

1. Do all proposed research projects fit the proposed AP4 center's research focus?
2. If some of the research projects do not fit the center's focus area:
 - Can the AP4 center's research focus area be expanded to accommodate these projects?
 - If so, will the research focus still be appropriate for an AP4 center (i.e., conduct research on novel therapeutic, prevention, diagnostic, and imaging interventions for underserved cancers)?
 - What are the advantages and disadvantages of changing the research focus in this way? For example, will the proposed change have an impact on the interest level of potential partners in joining the center?
3. Should any research topics be addressed in the AP4 center's initial year that are not covered by the proposed research projects?
 - If so, what are they?
 - Which investigators and projects could address these topics?
4. Are issues targeted by some of the proposed initial research projects addressed by more than one proposed research project?
 - If so, should these projects be merged?
5. Is the proposed center's research focus and research plan too broad, given available resources?
 - If so, how can it be narrowed to make it tighter?
 - If not, can other people and resources be brought in to expand the center's target research area?
6. Can the project presentations be used for presentations to potential new partners?
 - If not, how can appropriate project presentations be developed?
7. Can the initial research project descriptions and research focus areas be used for statements of clinically relevant needs?

*Adapted from "Debriefing an I/UCRC Research Planning Meeting for a New Center," in Gray and Walters, p. 53.